



**GOVERNMENT OF THE DISTRICT OF COLUMBIA
Department of Insurance, Securities and Banking**

1050 First Street, NE Suite #801
Washington, DC 20002
Phone 202 727 8000

Risk Retention Group Notice and Registration Form

This registration form is being filed by a Risk Retention Group (RRG) operating in accordance with the Federal Liability Risk Retention Act of 1986 (LRRRA), 15 USC 3901-3906, chartered or licensed to write only liability insurance by the state of domicile listed in #1e. The registration form and supplemental documents are provided in accordance with §3902(d)(2) of the LRRRA. Under §3902 of the LRRRA, with the exception of the domiciliary state, RRGs are exempt from any state laws, rules, regulations, or orders that would make unlawful, or would regulate, directly or indirectly, the operation of an RRG, except that any state may require an RRG to comply with those laws specified in §3902(a)1(A),(B),(C) and (G) of the LRRRA. The domiciliary state regulates the formation and operation of the RRG.

1a List the Name of the Risk Retention Group (RRG) (as shown on certificate of authority)		1b NAIC #
_____		_____
1c Address of the Risk Retention Group		1d FEIN #
_____		_____
1e State Domiciled	Date Licensed	Date Chartered
_____	_____	_____

1f Form of Organization: Corporation Association Partnership Other

1g Primary contact person for state of domicile to whom questions regarding the RRG should be addressed		
Name	Contact Number	E-mail Address
_____	_____	_____

2 List any other name by which the RRG is known or may be doing business in the District of Columbia or any other state		
1. _____	2. _____	3. _____

3 The RRG is authorized to engage in the following lines or classifications of liability insurance in the District of Columbia or any other state	
1. _____	2. _____
3. _____	4. _____

4 Give a general description of the liability insurance coverages the RRG plans to write in the District of Columbia
Description:

5 Has RRG's domiciliary state approved expansion into the District of Columbia?	Yes	No
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6 Ownership of the Group consist of ONE the following (must check only one box)

(A) The owners of the Group are the only ones comprising the Group and who are provided insurance by the Group?

(B) Sole Owner of Organization¹

Name _____

Address _____

¹An organization which has as its members only persons who comprise the membership of the Group and which has as its owners only persons who comprise the membership of the Group and who are provided insurance by the Group

7 The RRG members are engaged in businesses or activities similar or related with respect to the liability to which such members are exposed by virtue of any related, similar or common business (whether profit or nonprofit), trade, product, services (including professional services), premises or operations. Give a general description of businesses or activities engaged in by the Group's members

Description:

8(a) List the name, position, and address of each officer and director of the RRG: (Attach additional pages, if necessary).

Name _____	Address _____	Director _____
Position _____	City/State _____ Zip _____	Officer _____

Name _____	Address _____	Director _____
Position _____	City/State _____ Zip _____	Officer _____

Name _____	Address _____	Director _____
Position _____	City/State _____ Zip _____	Officer _____

8(b) Identify and give the phone number of the officer or director of the RRG who can be contacted for any information regarding the management of the insurance activities of the Group:

Name: _____	Phone _____
_____	E-mail _____

9 List the name, address, and phone number of the company responsible for managing the insurance operations of the RRG and the company contact person's name, phone number and email. (If none, answer none.) None

Name of company responsible for managing the RRG _____

Address _____

City _____ State _____ Zip _____ Phone _____

Contact Name _____ Phone _____

Email _____

10 List the name(s) NPN#, and address(es) of the licensed insurance agent(s) or broker(s) who will be responsible for marketing the Risk Retention Group's insurance policies in the District of Columbia and the current licensing status in the District of Columbia (If none, answer none. Attach additional pages, if necessary.)

None

Agent's Name _____ Address _____
City _____ State _____ Zip _____
Licensing status _____

NPN#

Agent's Name _____ Address _____
City _____ State _____ Zip _____
Licensing status _____

NPN#

Agent's Name _____ Address _____
City _____ State _____ Zip _____
Licensing status _____

NPN#

Agent's Name _____ Address _____
City _____ State _____ Zip _____
Licensing status _____

NPN#

11. In accordance with the Liability Risk Retention Act, we verify the following:

- A. The Risk Retention Group is a corporation or other limited liability association whose primary activity consists of assuming and spreading all, or any portion, of the liability exposure of its members.
- B. The Risk Retention Group is organized for the primary purpose of conducting the activity described under Item "A" above.
- C. The Risk Retention Group does not exclude any person from membership in the Group solely to provide for members of the Group a competitive advantage over such a person.
- D. The activities of the Risk Retention Group do not include the provision of insurance other than:
 - i. liability insurance for assuming and spreading all or any portion of the similar or related liability exposure of its Group members; and
 - ii. reinsurance with respect to the similar or related liability exposure of another Risk Retention Group (or a member of such other Risk Retention Group) engaged in business or activities so that such Risk Retention Group or member meets the requirement under Item #7 above for membership in the Risk Retention Group which provides such reinsurance.

12. In accordance with the LRRRA, if the State in which the Risk Retention Group is registering requires compliance with the following laws and requirements, the RRG agrees to the following:

- A. The Risk Retention Group will comply with the unfair claim settlement practices laws of the District of Columbia.
- B. The Risk Retention Group will pay, on a non-discriminatory basis, applicable premium and other taxes which are levied on admitted insurers, surplus line insurers, brokers or policyholders under the laws of the District of Columbia.
- C. The Risk Retention Group will participate, on a nondiscriminatory basis, in any mechanism established or authorized under the law of the District of Columbia for the equitable apportionment among insurers of liability insurance losses and expenses incurred on policies written through such mechanism.
- D. The Risk Retention Group will designate the Insurance Commissioner of the District of Columbia as its agent solely for the purpose of receiving service of legal documents or process by executing Part B of this form, attached hereto.
- E. The Risk Retention Group will submit to examination by the Insurance Commissioner of the District of Columbia to determine the Group's financial condition, if:
 - i. the Insurance Commissioner, Director, or Superintendent of the Group's chartering State has not begun or has refused to initiate an examination of the Group; and
 - ii. any such examination by the Insurance Commissioner, Director, or Superintendent shall be coordinated to avoid unjustified duplication and unjustified repetition.
- F. The Risk Retention Group will comply with a lawful order issued in a delinquency proceeding commenced by the Insurance Commissioner of the District of Columbia upon a finding of financial impairment, or in a voluntary dissolution proceeding.

G. The Risk Retention Group will comply with the laws of the District of Columbia regarding deceptive, false or fraudulent acts or practices, including any injunctions regarding such conduct obtained from a court of competent jurisdiction.

H. The Risk Retention Group will comply with an injunction issued by a court of competent jurisdiction upon petition by the Insurance Commissioner of the District of Columbia alleging that the Group is in hazardous financial condition or is financially impaired.

I. The Risk Retention Group will provide the following notice, in at least 10-point type, in any insurance policy issued by the Group:

NOTICE

****This policy is issued by your risk retention group. Your risk retention group may not be subject to all the insurance laws and regulations of your State.***

****State insurance insolvency guaranty funds are not available for your risk retention group.***

13. In accordance with the LRRRA, the Risk Retention Group affirms that it has submitted to the Insurance Commissioner as part of this filing and before it has offered any insurance in the District of Columbia a copy of the plan of operation or feasibility study which it has filed with the Insurance Commissioner Director, or Superintendent of its state of domicile. This plan or study includes the name of the State in which the Group is chartered, as well as the Group's principal place of business, and such plan of operation or feasibility study further includes the coverages, deductibles, coverage limits, rates, and rating classification systems for each line of liability insurance the Group intends to offer. The Group has also submitted to the Insurance Commissioner, of the District of Columbia, any revisions of such plan of operation or feasibility study to reflect any changes if the Group intends to offer any additional lines of liability insurance or change in the designation of the State in which it is chartered.

14. The Risk Retention Group will submit a copy of its annual financial statement submitted to its chartering state, to the Insurance Commissioner, of the District of Columbia. The annual financial statement shall be certified by an independent public accountant and include a statement of opinion on loss and loss adjustment expense reserves made by a member of the American Academy of Actuaries or a qualified loss reserve specialist. The annual financial statement, certification and statement of opinion on loss and loss adjustment expense reserves will be submitted to the Insurance Commissioner of the District of Columbia by the date it is required to be submitted to its chartering state.

15. The Risk Retention Group will not solicit or sell insurance to any person in the District of Columbia who is not eligible for membership in the Group.

16. The Risk Retention Group will not solicit or sell insurance in the District of Columbia, or otherwise operate in the District of Columbia, if the Group is in hazardous financial condition or is financially impaired.

17. In accordance with the LRRRA, the terms of any insurance policy provided by the Risk Retention Group shall not provide or be construed to provide insurance policy coverage prohibited generally by District of Columbia statute or declared unlawful by the highest court of the State whose law applies to such policy.

18. To the extent required by the LRRRA, the Risk Retention Group will comply with all other applicable District of Columbia laws.

19. The Risk Retention Group will notify the Insurance Commissioner as to any subsequent changes in any of the items included in this form (except for items #1f, #8 and #10).

The undersigned hereby swear and affirm that the foregoing statements and information regarding their principal, the _____ (Name of Risk Retention Group) are true and correct.

President of the Risk Retention Group _____ Date _____
(Signature)

Secretary of the Risk Retention Group _____ Date _____
(Signature)

Part B

APPOINTMENT OF ATTORNEY TO ACCEPT SERVICE AND DESIGNATION

The _____ (“the Group”), a risk retention group which is chartered and licensed as a liability insurance company under the laws of the District of Columbia, having notified the insurance Commissioner of its intention to do business a risk retention group pursuant to the federal Liability Risk Retention Act of 1986, hereby appoints the Insurance Commissioner any successor in office, and any authorized deputy its true and lawful attorney, in and for the District of Columbia, upon whom all legal documents or process in any proceeding against it may be served. Such service of legal documents or process shall be of the same legal force and validity as if served personally upon the Group.

The Group designates:

(Name)

(Address)

(City, Town or Village)

(State and ZIP Code)

as its officer, agent or other person to whom shall be forwarded all legal documents or process served upon the Insurance Commissioner of the District of Columbia, Department of Insurance, Securitas and Banking any successors in office, or any authorized deputy, for the Group. This designation shall continue in full force and effect until superseded by a new written designation filed with the Insurance Commissioner.

This appointment and designation is made pursuant to a resolution by the Group’s governing body authorizing it, and a certified copy of the resolution is attached hereto. This appointment shall be binding upon any person or corporation which as successor acquires the Group’s assets or assumes its liabilities, by merger or consolidation or otherwise.

This appointment may be withdrawn only upon a written notice of termination and, in any event, shall not be terminated by the Group or its successor so long as any contracts or liabilities or duties arising out of contracts entered into by the Group while it was doing business in this State are in effect.

IN WITNESS OF THIS APPOINTMENT AND DESIGNATION, the Group, in accordance with the resolution of its Board of Directors duly passed on _____, _____, 20____ as affixed its corporate seal, and caused the same to subscribed and attested in its name by its President and Secretary, at the City of _____ in the State of _____, _____, _____, _____, _____, 20_____

(Name of Risk Retention Group)

By: _____ President
(Signature)

By: _____ Secretary
(Signature)

CORPORATE SEAL